

# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
18810-81609

Total Pages in this Submission

99

## TO THE ASSISTANT COMMISSIONER FOR PATENTS

Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

Kit for Transfection, Storage and Transfer of Male Germ Cells

and invented by:

Carol W. Readhead and Robert Winston

If a CONTINUATION APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/191,920

Claims benefit of provisional : 60/065,825

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

### Application Elements

1. ☐ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 47 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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**(Small Entity)**

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**Application Elements (Continued)**

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*  
a. ☐ Formal      b. ☐ Informal      Number of Sheets None
4. ☒ Oath or Declaration  
a. ☐ Newly executed *(original or copy)*      ☐ Unexecuted  
b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*  
c. ☐ With Power of Attorney      ☒ Without Power of Attorney  
d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under  
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*  
a. ☐ Paper Copy  
b. ☐ Computer Readable Copy  
c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☒ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing  
☐ First Class      ☒ Express Mail *(Specify Label No.):* EL 900688465 US

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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 2
17. ☒ Additional Enclosures *(please identify below)*:

Copies of Power of Attorney by Assignee, Notice of Change of Address Preliminary Amendment and Petition Under § 1.48(b)(1) for Correction of Inventorship; and Revocation of Prior Powers and New Power of Attorney

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

**An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.**

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**(Small Entity)**

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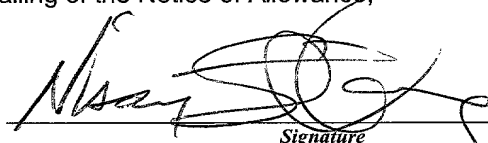
**Fee Calculation and Transmittal**

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	//	- 20 =	0	x \$9.00	\$0.00
Indep. Claims	/	- 3 =	0	x \$42.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$370.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$370.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **50-1597** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$370.00** as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: November 12, 2001

  
Signature

Nisan A. Steinberg, Ph.D.  
Registration No. 40,345  
SIDLEY AUSTIN BROWN & WOOD  
555 West Fifth Street  
Los Angeles, CA 90013-1010  
Ofc: 213/896-6665  
Fax: 213/896-6600

cc:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Readhead et al.  
 Serial No. 09/191,920  
 Filed: November 13, 1998  
 For: Transfection, Storage and Transfer of Male Germ Cells for  
 Generation of Transgenic Species & Genetic Therapies  
 Examiner: Clark, D.  
 Unit: 1633

**NOTICE OF CHANGE OF ADDRESS**

Assistant Commissioner for Patents  
 Washington, D. C. 20231

Dear Sir:

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS	
WASHINGTON, D. C. 20231, ON	November 14, 2000
BY	DATE
ANN WEISS	November 14, 2000
	(DATE OF SIGNATURE)

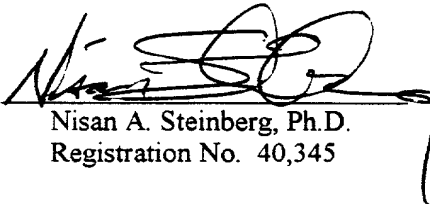
Please take notice that, effective immediately, Applicants' attorney of record has changed his address and telephone number. Please send all correspondence regarding the above-referenced application to:

Edward G. Poplawski, Esq.  
 Registration No. 33,439  
 Sidley & Austin  
 A Partnership including Professional Corporation  
 555 West Fifth Street  
 Los Angeles, CA 90013-1010

Please refer all calls to Nisan A. Steinberg, Ph.D., Registration No. 40,345 at 213/896-6665.

Respectfully submitted,

**SIDLEY & AUSTIN**

By:   
 Nisan A. Steinberg, Ph.D.  
 Registration No. 40,345

555 West Fifth Street  
 Los Angeles, California 90013-1010  
 Ofc: 213/ 896-6665  
 Fax: 213/896-6600

10544-1001  
 10211-1001

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.105)**

Applicant(s): Carol W. Readhead, Robert Winston, and Outi Hovatta

Docket No.

P07 41794

Serial No.  
NOT ASSIGNEDFiling Date  
NOVEMBER 13, 1998Examiner  
NOT ASSIGNEDGroup Art Unit  
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Invention:

Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species &amp; Genetic Therapies

I hereby certify that this Statement Claiming Small Entity Status

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 13, 1998

(Date)

ANN WEISS

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL 149 134 734 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.1)**

Applicant(s): Carol W. Readhead, robert winston, and Outi Hovatta

Docket No.

P07 41794

Serial No.  
NOT ASSIGNEDFiling Date  
NOVEMBER 13, 1998Examiner  
NOT ASSIGNEDGroup Art Unit  
--

Invention:

Transfection, Storage and Transfer of Male Germ Cells for Generation of Transgenic Species &amp; Genetic Therapies

I hereby certify that this Power of Attorney By Assignee Under Rule 32

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
November 13, 1998

(Date)

ANN WEISS

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL 149 134 734 US

("Express Mail" Mailing Label Number)

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FOOTER = E4143007